

Compliance Management Process and Requirements for Software Acquisition

**Hydropower License Planning and Compliance Office
Executive Division
Department of Water Resources**

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Background

The Department of Water Resources (DWR) holds three licenses with the Federal Energy Regulatory Commission (FERC) to operate its hydroelectric power plant and electrical transmission facilities. They include Project 2100 (Oroville), Project 2426 (California Aqueduct) and Project 2876 (Pine Flat transmission line). Each FERC license has specific conditions that must be met by DWR.

Power generated from the hydro facilities is critical to the operation and financial integrity of the State Water Project. It is very important for DWR to maintain a good compliance record for these license conditions in order to avoid potentially serious penalties and disruption of SWP operations. A good license track record will also assist DWR in future license renewal efforts¹.

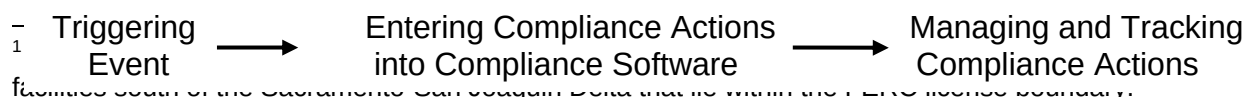
DWR efforts are nearly complete to secure a new FERC license for Project 2100. This ten year, \$80 million license renewal effort is expected to end in 2010. The issuance of this license will usher in a large increase in the amount of license compliance activity that must be managed and carried out by DWR. Timely completion of these new activities, together with on-going requirements of the other two licenses, is essential in order for DWR to meet its compliance obligations.

The development and use of a compliance management process is the key to timely completion of compliance activities. The process will require compliance-oriented software designed, among other things, to alert Department staff to upcoming compliance activities so they may be managed and completed by specific due dates with existing resources.

Following is a description of the Compliance Management Process, that was established by DWR staff, followed by a description of requirements for the compliance software needed to help support the process.

Compliance Management Process

The compliance management process can be divided into three activities as shown below.



Triggering Events

The compliance management process begins when a particular “triggering event” occurs. Identified triggering events associated with DWR’s FERC license conditions include the following.

1. When a new request is received from FERC or other regulatory agency.
2. When a recurring compliance requirement is about to come due.
3. When FERC schedules a regulatory inspection of project facilities.
4. When an “Incident” occurs.
5. When new SWP construction or significant repairs is to occur.
6. When a non-SWP activity (i.e., granting of a utility easement) is to occur on SWP lands within license boundaries.

Entering Compliance Actions into Compliance Software

Following the triggering event, DWR staff becomes aware of the event. Information concerning the event is then entered manually into the compliance software by a software end user, the Compliance Analyst. The software passes on this information, in the form of a “Notification”, to another end user, the Compliance Coordinator². The Compliance Coordinator reviews and adds additional details to the Notification concerning the triggering event.

Managing and Tracking Compliance Actions

Once a Notification is reviewed by the Compliance Coordinator, the Compliance Coordinator uses the software to forward the Notification by e-mail, with specified work tasks and due dates, to DWR staff that will do the work. When tasks are completed, staff uses the Notifications to convey work products back to the Compliance Coordinator who, in coordination with the Compliance Analyst, completes the compliance requirement and close out the Notification. The software will also generate a variety of reports for managing compliance activities and assessing how well compliance goals are being met.

Illustrations of the Compliance Management Process

Specific actions to be carried out by Department staff, in accordance with the compliance management process, will differ by triggering event. Following are six illustrations depicting the anticipated compliance management process³ associated with

² Note that the role of a Compliance Coordinator may not necessarily be carried out by a single individual.

³ These processes, which drive many of the software requirements described later in this document, will later be reviewed and further refined and clarified with assistance from the software integrator hired by DWR.

each of six identified triggering events. As previously mentioned, two key Department staff – a Compliance Analyst and a Compliance Coordinator – will utilize the software to facilitate the compliance management process⁴.

⁴ It is envisioned that the Compliance Analyst will reside in the Hydropower License Planning and Compliance Office of the Executive Division while the Compliance Coordinator may reside in the Division of Operations and Maintenance.

Illustration 1: Compliance Management Process for Trigger 1

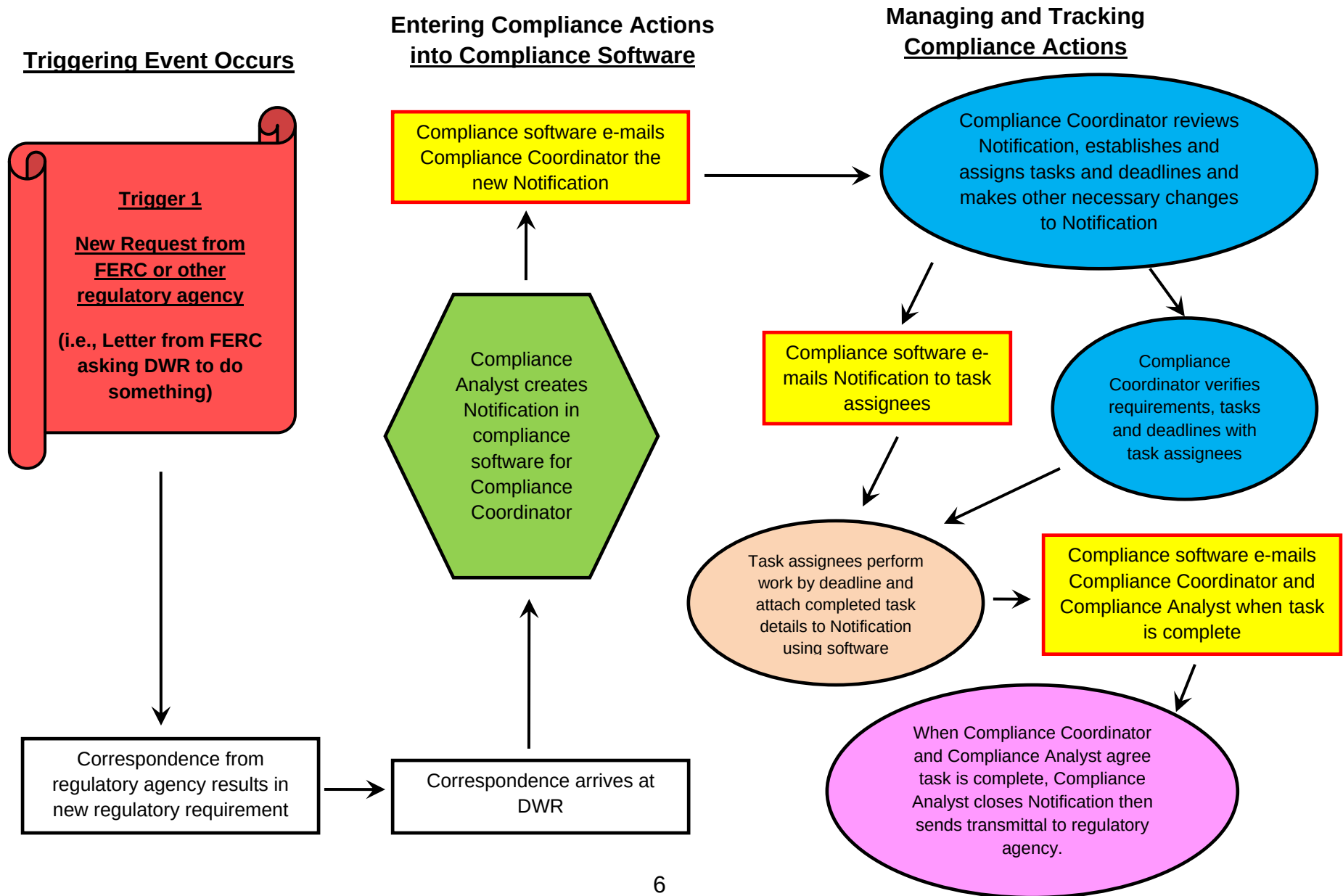


Illustration 2: Compliance Management Process for Trigger 2

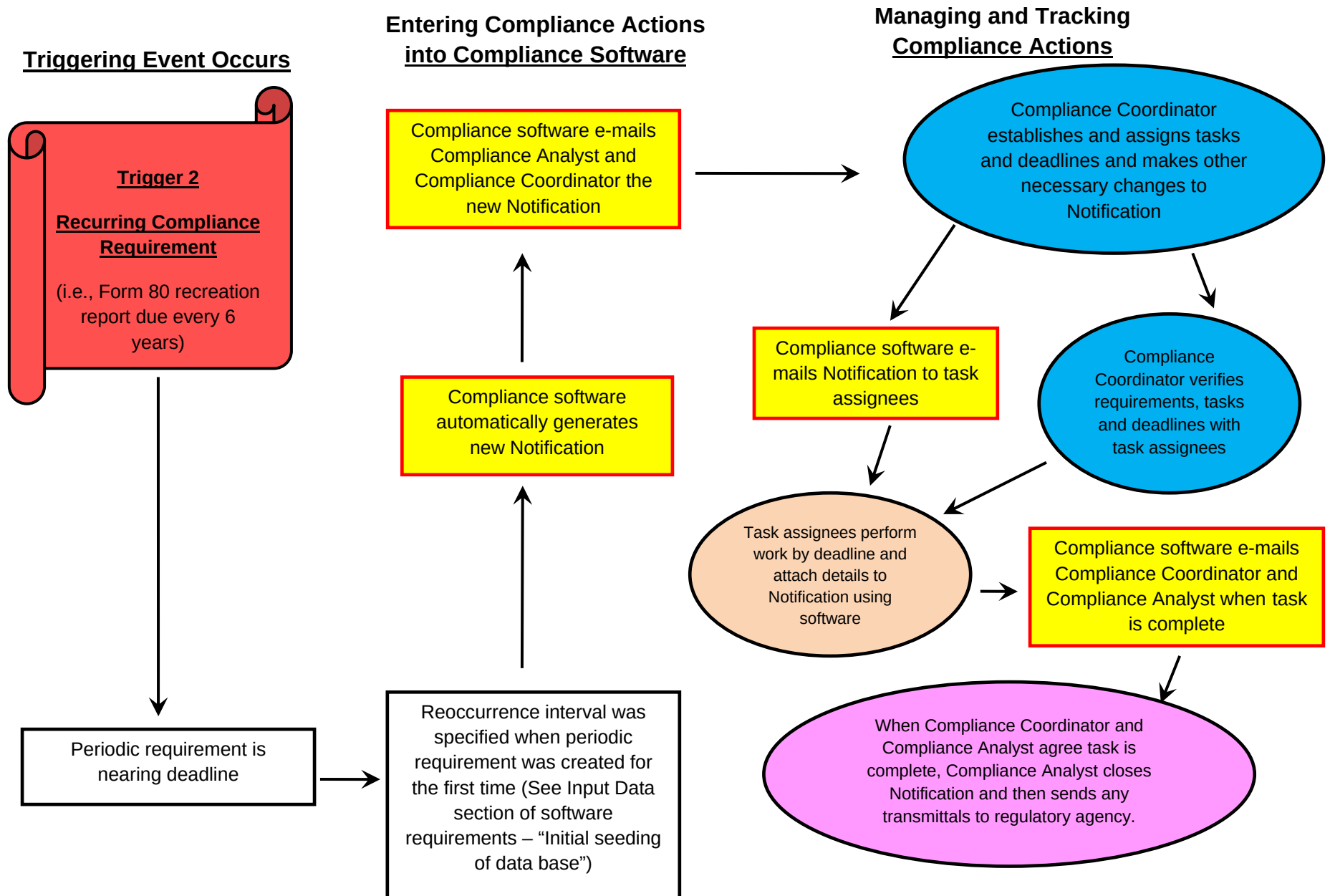


Illustration 3: Compliance Management Process for Trigger 3

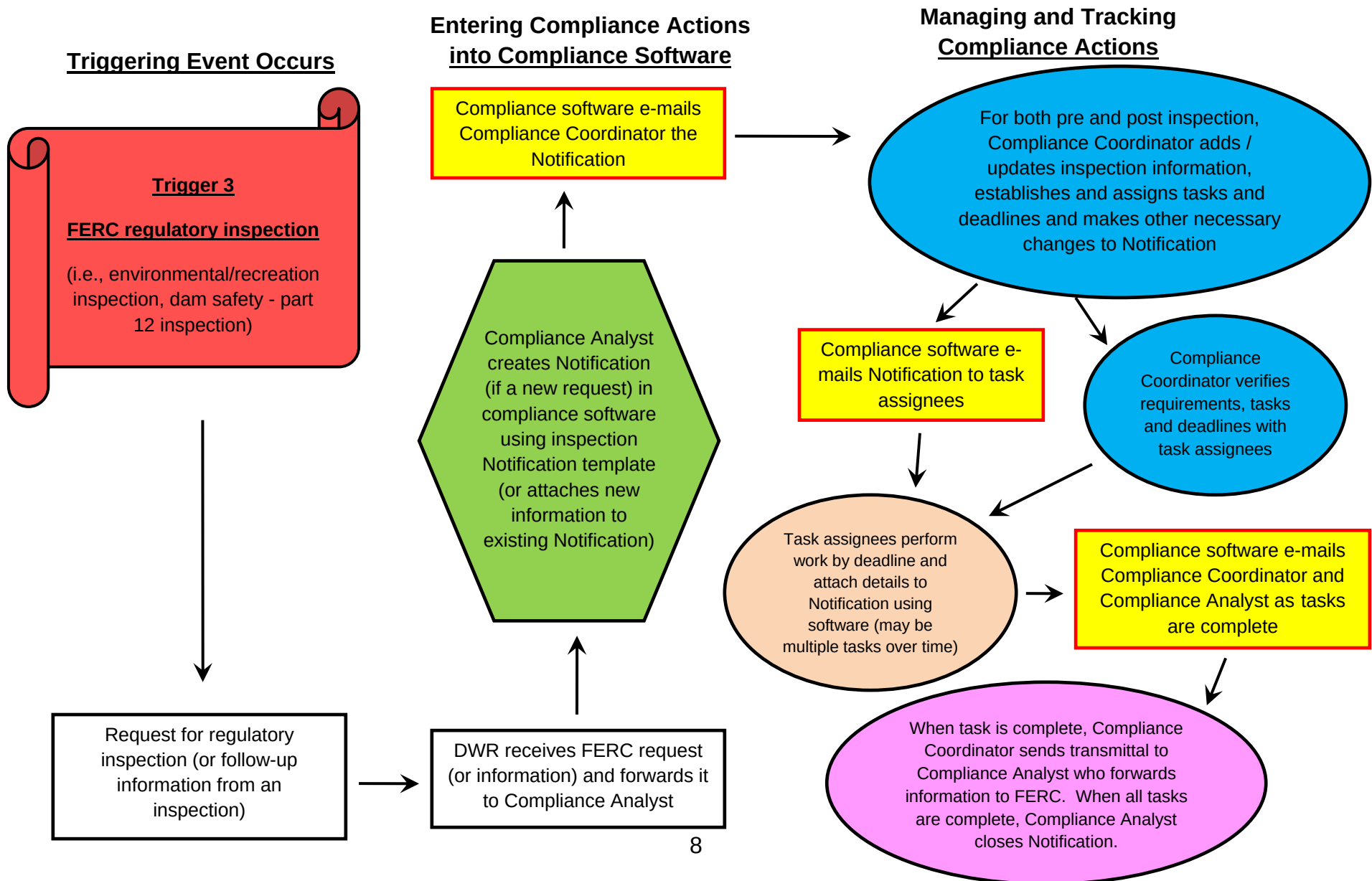


Illustration 4: Compliance Management Process for Trigger 4

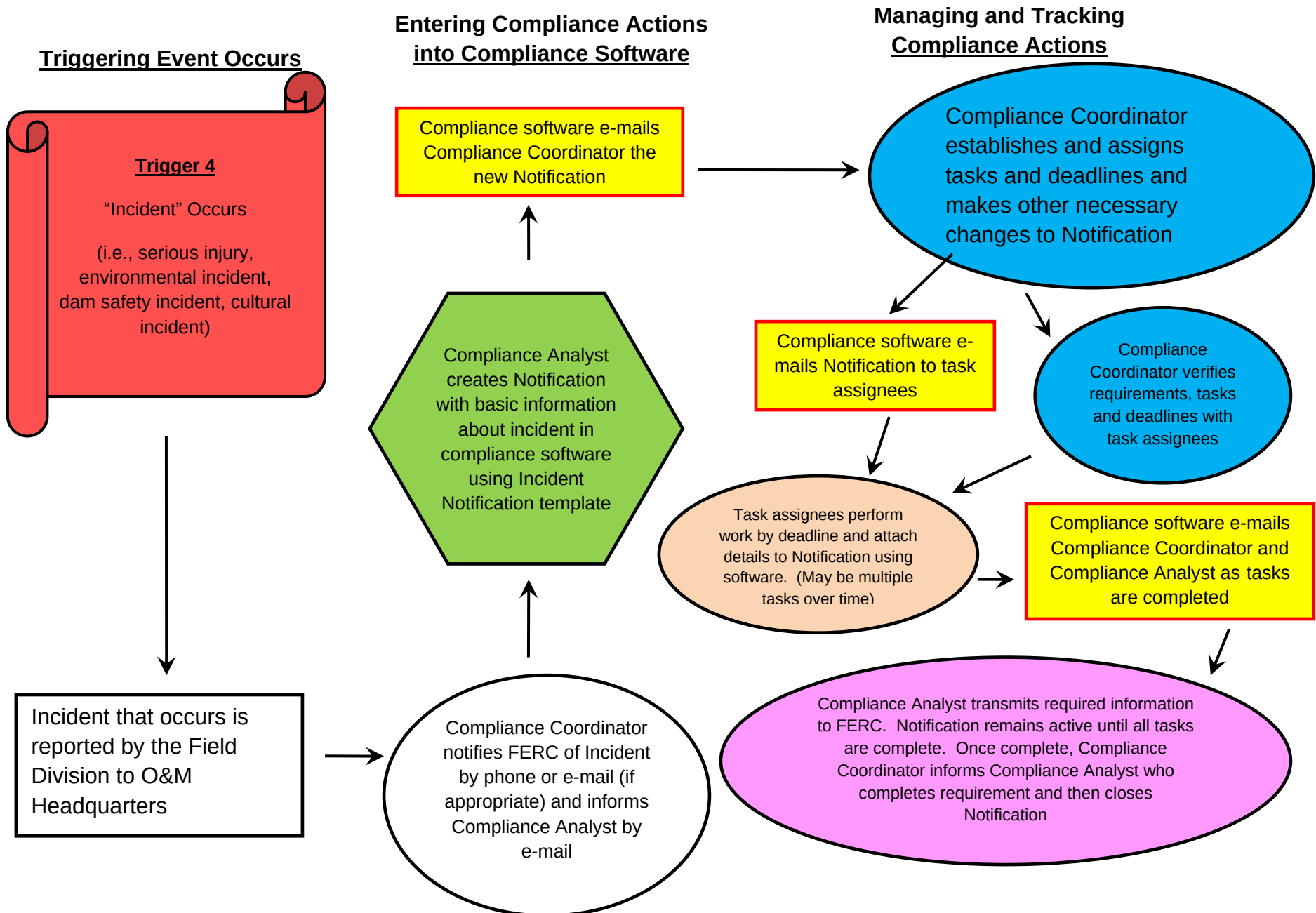


Illustration 5: Compliance Management Process for Trigger 5

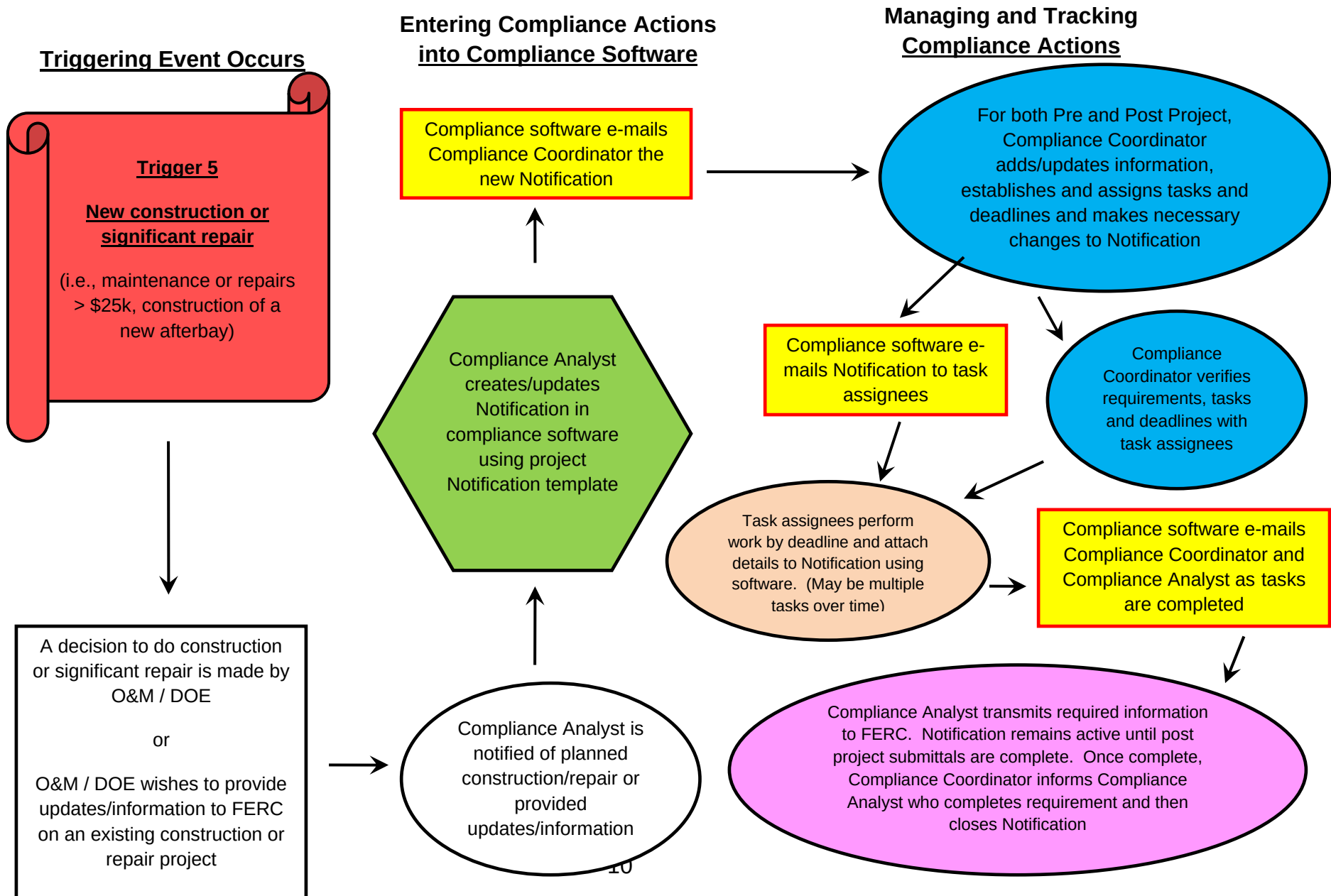
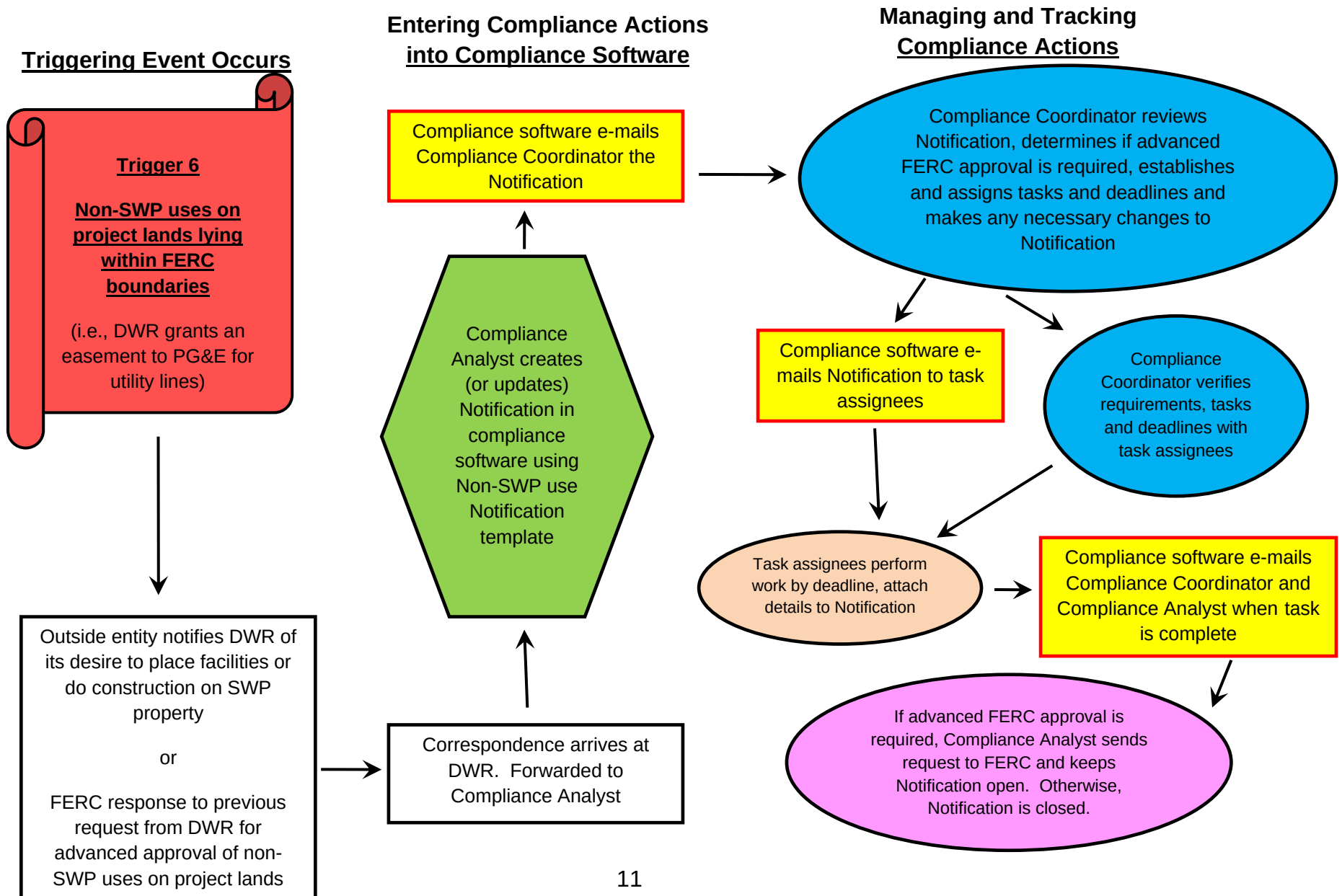


Illustration 6: Compliance Management Process for Trigger 6



Requirements for Compliance Software Acquisition

Staff from the Hydropower License Planning and Compliance Office (HPLCO) consulted with outside agencies having experience in managing FERC compliance activities. In addition, HPLCO staff held meetings with DWR managers and staff to validate the anticipated compliance management process previously described and to determine the compliance software requirements necessary for software acquisition. Following is a description of the requirements.

Business Requirements

Software End Users

End users of the software include a Compliance Analyst, one or more Compliance Coordinators, various task assignees from O&M and the Divisions of Engineering, Environmental Services, and Land and Right of Way. Managers and designated staff from HPLCO, O&M and other areas of the Department will also utilize the software for running reports to analyze and manage the compliance management process.

How the Software will be Used

Use of the software includes, but is not limited to, the following.

1. Populate the data base⁵ with FERC license conditions and other regulatory agency data covering Project 2100, Project 2426 and Project 2876.
2. Manually create, modify and save Notifications using standard or generic data templates.
3. Automatically generate and send, via electronic mail, notices of Notifications to specific staff when periodic requirements associated with license conditions or other regulatory requirements approach or when specific task due dates specified in the Notifications occur.
4. Manually send notices of Notifications by electronic mail.
5. Search for previously created Notifications.
6. Associate Notifications with one another.
7. Associate documents to Notifications and to specific tasks within the Notification.
8. Create, download, and print out Notifications, attachments and reports.

Implementation Timeline

It is essential that the compliance management process is fully functional by December of 2010 in order for DWR staff to be prepared for the large increase in compliance activities that will occur once a new license is issued by FERC for Project 2100. For this

⁵ This can initially be done as a single data set upload from an Excel or text file. It can also be done manually using the "Recurring Compliance Requirement Template." (See Appendix C)

reason, it is important to choose a software vendor soon who can provide software by the required due date, within budget, and that fully meets the software requirements specified in this document.

General Requirements

Following are general requirements for the compliance software and software implementation.

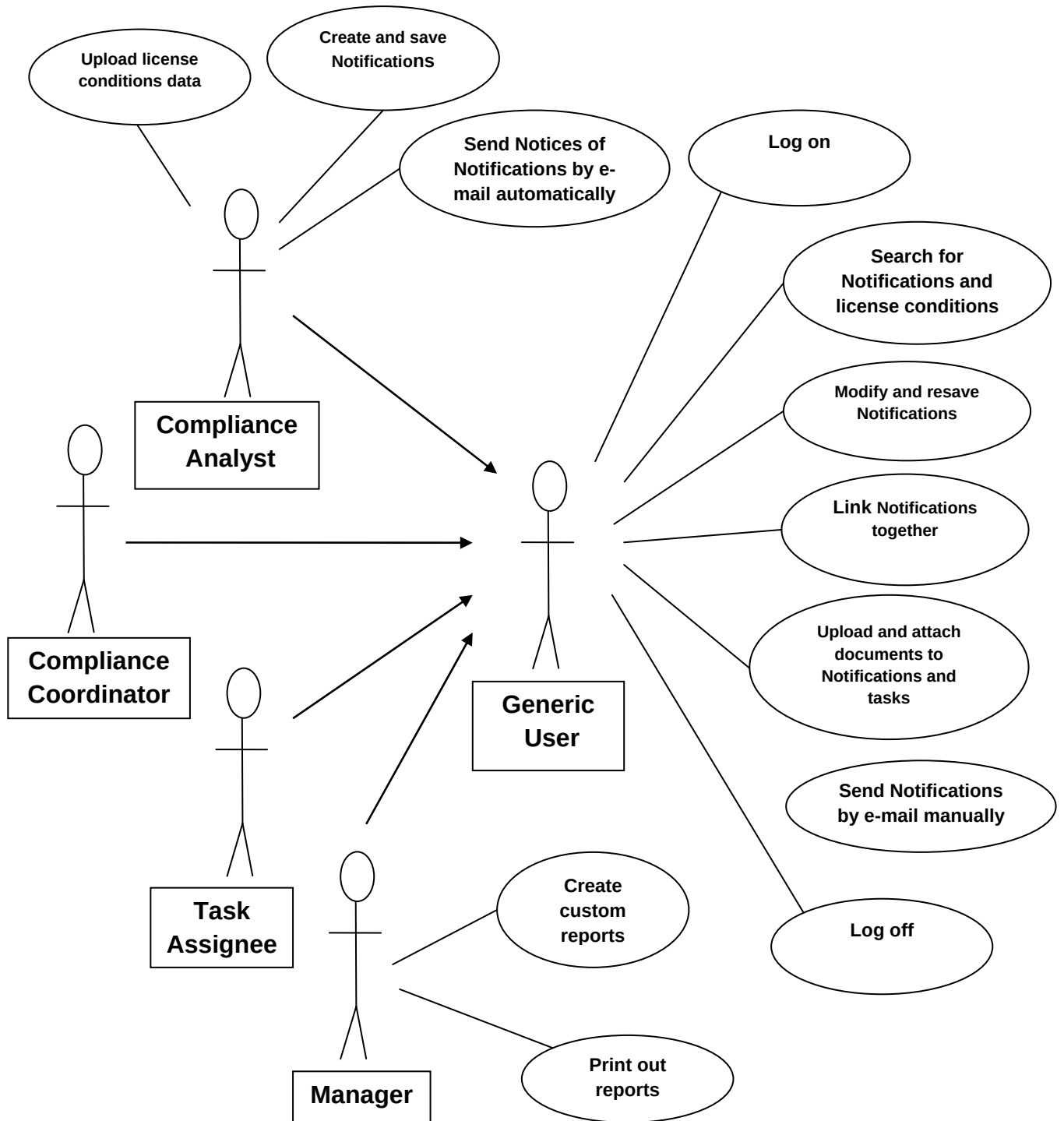
1. The software must fully meet the Department's IT requirements.
2. The software must have a data repository with expandable storage capability.
3. The software must be accessible through an internet browser.
4. The GUI must have user-friendly displays and data field names consistent with those found in Appendix C of this document.
5. The software must support the assignment of roles for end users. These roles must be configurable to control who may access the compliance software, upload license conditions data, create and save particular types of Notifications, modify Notifications, and create and print out reports. The roles capability must be supported by an interface with a roles matrix table that can easily be populated and modified by the user.
6. The software must log all transactions.
7. The software must validate all input data.
8. The software must support confidentiality, integrity, availability and non-repudiation of all transactions.
9. The software should have backup capabilities to protect data integrity.
10. It is essential that DWR end users and IT support staff are properly trained on use of the software and supporting hardware. Training should include hands-on training and a clearly written, detailed user manual that will permit DWR staff to operate the software with little or no on-going support from the vendor.
11. The software should undergo a thorough testing process. This includes a unit test and factory acceptance test (FAT) at the vendor's facility followed by a site

acceptance test (SAT), end-to-end testing, user acceptance testing and system availability testing at DWR to evaluate conformance with software requirements.

12. The software should store all data, including documents attached to Notifications, in a data repository. They shall not physically be attached to e-mailed notices of Notifications.
13. It would be preferable for the system user to be able to log in to their office workstation using their user name and password and then be able to utilize the compliance software without a second log in.
14. The software must support a user interface for table maintenance. The tables will allow the user to easily edit drop-down menus and the roles matrix table.
15. The software may, but is not required to, support a dash board which will provide a summary of the status of Notifications as specified by the user.
16. Data fields in the system data base must be expandable.
17. The software must have the capability to deactivate created Notifications such that the automatic notifications feature that sends e-mails to designated staff is disabled.

Use Case Diagrams

The following use case diagram provides a graphical overview of the functionality to be provided by the compliance management software in terms of actors and their goals. An inventory of the use cases, and the use cases themselves, can be found in Appendix A and Appendix B, respectively.



Requirements Pertaining to Input and Output Data

Following is a requirements description for data input and output.

Requirements for Data Input

The compliance software data base will initially be seeded with license conditions and other regulatory data. The software user must be able to upload this data as a single data set directly into the data base using an Excel file or a text file in comma separated value format. A list of the data fields to be contained in the Excel or comma delimited text upload file used for direct data upload can be found in Appendix C (See “Input Data Template” column in the “Data Fields Associated with Each Template” Table). The software must also have a graphical user interface (GUI) designed to support a data template for the manual preparation, uploading and modification of this data. This template is referred to as the “Recurring Compliance Requirement Template” (used for the trigger 2 process) later in the document⁶.

The software user must be able to create compliance Notifications manually in response to each of the six triggering events, using a standard data template designed for each triggering event (see the following “Notification Templates” section). The software must also support a standard “Generic Template” for inputting data associated with some unusual triggering event. A description of each data field to be contained in the templates can be found in Appendix C⁷.

Notification Templates

The particular input data for each Notification will vary by triggering event. Appendix C contains a table for each known triggering event, along with a description (in alphabetical order) of each required input data field to be used for manual data entry via standard input template. The vendor will be required to fashion these data fields logically into a very user-friendly graphical user interface for manual data input.

Requirements for Notifications

Notifications are created whenever there is a triggering event. Following are specific requirements for these Notifications.

⁶ Note that the Trigger 2 “Recurring Compliance Requirements Template” has identical data fields as the fields used for direct data upload.

⁷ Note that the specific order of the data fields for each of the templates is not specified and will be determined once DWR hires the software vendor and integrator.

1. Notifications, and text entered into Notifications, once created and saved, cannot be deleted without assistance from a Data Base Administrator. Users may freely add additional text to previously saved Notifications. (Note that this also applies to license conditions data that is put into the data base via the Input Data Template or manually via the Recurring Compliance Requirements Template.)
2. Users should be able to create a copy of a Notification and save it. The saved Notification shall have a unique notification tracking number.
3. Users should be able to cut and paste information from a Notification into another document or e-mail.
4. Users should be able to associate Notifications together by hypertext or other means and also associate document files to Notifications and tasks described within the Notifications. These may be files created by the following software.
 - Microsoft Word, Excel, Project
 - Notepad and Word Pad
 - Adobe Reader
 - Microstation Autocad
5. Notices of Notifications sent manually or automatically by electronic mail will contain the following data fields.
 - Notification header
 - Date the notification was created
 - The unique Notification tracking number
6. All documents, drawings and other files and artifacts shall all reside in a data repository.
7. The number of "Responsible People" specified by "n" in the use cases and in Appendix C shall be a minimum of six people.
8. All Notification types, and any specific tasks described in the Notifications, may have their own reminder call-up dates wherein all listed "Responsible People" will be sent a Notification notice on a date specified in the Notification once the call-up date is reached and if the reminder flag is set to "On".
9. Users must be able to search for and find specific Notifications and license conditions (See Use Case No. 5) by specifying a search string. This may include the following.
 - Notification type (i.e., New request, recurring, inspection, incident, new construction/repair, non-SWP use of project lands, Generic – See Appendix C).
 - Subject key words separated by commas
 - Words or phrases found in the Notification text fields
 - Unique Notification tracking number

- Unique group by identifier
10. The software should be able to create the following seven types of Notification templates (see Appendix C for more details).
- New Request for FERC or other regulatory agency template (Trigger 1)
 - Recurring compliance requirements template (Trigger 2)
 - FERC regulatory inspection template (Trigger 3)
 - Incident report template (Trigger 4)
 - New SWP construction or repair template (Trigger 5)
 - Non-SWP facilities or construction on project lands template (Trigger 6)
 - Generic template
11. A Notification cannot be closed (i.e., “Notification Status” data field equal to “Closed”) unless the status flags for the following have a status of “Completed”.
- Tasks
 - Pre project
 - Inspection
 - Incident report
12. When a user clicks the “Unique license conditions or regulatory requirement descriptor” data field, the software must display text from the FERC license conditions pertaining to the record.

Requirements for Data Output

The software must be able to support the following output.

1. Print out hard copies of Notifications and attachments.
2. Download hard copies of Notifications and attachments.
3. Send notices of Notifications via electronic mail to others manually or automatically (using e-mail addresses from the DWR Outlook directory or entered manually).
4. Notices of Notifications should be sent automatically to the responsible person by electronic mail on the specified reminder (tickle) date if the reminder flag is set to “On”.
5. Produce the following reports.

Report Name	Description
Financial Report	A list of all Notifications having a specified cost object.
License conditions and regulatory requirements	A list of all license conditions and regulatory requirements entered into the data base.
Unassigned tasks report	A list of all Notifications with specific tasks that do not have staff assigned to these tasks.
Notifications Dump	A comprehensive list of all Notifications in the data base or just those specified using the unique Notifications tracking number.
Compliance History	A list of all Notifications by unique Notification tracking number showing the FERC due dates and whether the due dates were met based upon the data found in the "Met FERC due dates?" data field and the data field containing when information was due to the regulatory agency.
Work Planning	Description of upcoming activities for a specified future period into the future by call-up date.

APPENDIX A – Use Case Index

Following is a use case index containing an inventory of all use cases that have been developed.

Use Case Index

Use Case ID	Use Case Name	Primary Actor	Scope	Release
1	Log On	Generic User	In	1
2	Upload License Conditions Data	Compliance Analyst	In	1
3	Create and Save Notifications	Compliance Analyst	In	1
4	Send notices of Notifications automatically by e-mail	Compliance Analyst	In	1
5	Search for Notifications	Generic User	In	1
6	Modify and resave Notifications	Generic User	In	1
7	Link Notifications together	Generic User	In	1
8	Upload and attach documents to Notifications	Generic User	In	1
9	Send notices of Notifications by e-mail manually	Generic User	In	1
10	Create custom reports	Manager	In	1
11	Print out and download reports	Manager	In	1
12	Log Off	Generic User	In	1

APPENDIX B – Use Cases

Following are the use cases which describe software functional requirements.

Use Cases

Use Case ID	1
Use Case Name	Log On
Primary Actor	Generic User
Use Case Description	This use case describes the procedure an actor uses to log on to the system.
Precondition	Actor has access to the system.
Trigger	
Basic Flow	1. A ctor enters user name and password into system. 2. S ystem authenticates actor and allows entry into portions of the system allowed by the established role for the actor. 3. S ystem logs user name, date and time into system log.
Alternate Flow	1. A ctor enters user name and password into system. 2. S ystem does not recognize user name and/or password. System notifies actor that the user name and/or password is not correct and denied access. System prompts actor to try again. After n tries, the system denies access and advises the actor to contact the system administrator. 3. S ystem logs user name, date, time and number of unsuccessful log-in attempts into system log.

Use Case ID	2
Use Case Name	Upload license conditions data
Primary Actor	Compliance Analyst
Use Case Description	This use case describes how the license conditions are uploaded into the data base as a single data set.

Precondition	Actor is logged on to the system. Data to be uploaded has already been created as an Excel or comma delimited text file and saved on a file directory drive.		
Trigger			
Basic Flow	1.	The actor selects "Upload Data" and the system responds by displaying a file directory in the GUI (see "Requirements for Data Input section of this document).	Th
	2.	The actor selects the Excel or text file to be uploaded from a file directory and presses "Upload Data".	Th
	3.	The system uploads the data, validates it, saves it in the data base and then replies "Data has been uploaded without errors".	Th
	4.	The actor completes the process by closing the upload window.	Ac
Alternate Flow	1.	Steps 1 and 2 are the same as the Basic Flow above.	St
	2.	The system uploads the data and an error occurs during the validation process.	Th
	3.	The system replies "Error found in data set".	Th
	4.	The system then creates a data file containing a description of the data errors encountered during the upload process. This file is automatically stored by the system in a known location in the data repository for retrieval by the actor.	Th

Use Case ID	3
Use Case Name	Create and save notifications
Primary Actor	Compliance Analyst
Use Case Description	This use case describes how one of the seven different types of standard input data template "Notifications" is created and saved in the system. Six of the Notifications are created using a standard input data template corresponding to one of the six compliance management process "Triggers". The seventh Notification template corresponds to a generic template that may be required by the actor to cover a situation not represented by one of the six identified Triggers.
Precondition	Actor is logged into the system.
Trigger	

Basic Flow	1. The actor selects "Create Notification" and the GUI displays seven possible Notification templates for the actor to choose from, as follows:	Th
	a. New Request "N b. Recurring Compliance Requirement "R c. ERC Regulatory Inspection "F d. Incident "In e. New Construction/Significant Repair "N f. Non-SWP Uses of Project Lands "N g. Generic "G	
	2. The actor selects one of the templates and a window appears displaying one of the selected data templates.	Th
	3. The actor types in the information required in the template.	Th
	4. The actor presses "Save" and the data is saved in the data repository. The actor may continue to add data to the template, if desired, and then press "Save" again.	Th
	5. The Notification and any text contained within the Notification once saved, cannot be deleted by the actor. A data base administrator may delete the Notification or text within the Notification.	Th
Alternate Flow		

Use Case ID	4
Use Case Name	Send notices of a Notification automatically by e-mail
Primary Actor	Compliance Analyst
Use Case Description	This use case describes an actor specifying that a notice of a particular Notification be automatically e-mailed to one or more people when a certain calendar date is reached.
Precondition	The actor is logged on to the system. The Notification has been created

on	and saved in the system.
Trigger	
Basic Flow	1. The actor opens an existing Notification. 2. The actor enters the name of the person to automatically receive a notice of the Notification into the "Responsible Person" text field of the license conditions template (see "Input Data" section of this document). 3. The actor enters the e-mail address of the Responsible Person into the license conditions template. The address may be entered manually or from the Outlook directory. 4. The actor enters the reminder call-up date and reoccurrence interval into the license conditions template. 5. The actor repeats steps 2, 3, and 4 as desired for other Responsible People. 6. The actor saves the Notification by pressing "Save". 7. The system will now automatically send a notice of the Notification to the responsible persons when the call-up date is reached. The notice will include the following information data fields contained in the Notification. • Not ification header • Dat a Notification was created • Uni que Notification tracking number 8. The Responsible Person can then log into the system and find the Notification using the unique Notification tracking number found in the notice.

Use Case	5
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ID	
Use Case Name	Search for Notifications and License Conditions
Primary Actor	Generic User
Use Case Description	This use case describes how an actor finds Notifications and License Conditions previously entered into the system.
Precondition	The actor is logged into the system. The desired Notification or License Conditions has already have created.
Trigger	
Basic Flow	1. Act or selects "Search" and a text box opens that states "Enter Search String". 2. Th e actor enters subject key words separated by commas, phrases, unique notification tracking numbers, or unique group by identifiers into the text box and presses "Begin Search". 3. Th e system searches all data in the data base and returns a list of abbreviated results containing the following data fields found in the Notifications and License Conditions. - Not ification header - Uni que Notification tracking number - Dat e Notification was created - List of subject key words If no results are found, the message "No results were found" is displayed. 4. Th e actor closes the search box by selecting "Close Search" and then may view the results by clicking on the results of the search.
Alternate Flow	

Use Case ID	6
Use Case Name	Modify and save Notifications
Primary Actor	Generic User

Use Case Description	This use case describes how a previously created Notification is modified and saved. Note that the text within the Notifications and License Conditions, once saved, cannot be deleted without assistance from a Data Base Administrator.
Precondition	The actor is logged on to the system. The Notification or License Condition to be modified was previously created and located using the "Search" feature.
Trigger	
Basic Flow	1. T he actor adds additional text in the Notification or License Conditions data fields and presses "Save". The system responds with the message "Data has been saved".
Alternate Flow	

Use Case ID	7
Use Case Name	Link Notifications together
Primary Actor	Generic User
Use Case Description	This use case describes how an actor "links" one or more Notifications together.
Precondition	The actor has logged on to the system. The Notifications to be linked were previously created and saved in the system.
Trigger	
Basic Flow	1. T he actor views an open Notification (N1) in the GUI to which one or more Notifications are to be linked. 2. T he Actor enters the unique identifier number of a Notification that is to be linked to N1 into a text box found in the N1 template. 3. T he actor presses "Link Notifications" and by hypertext or some other method, a link is created and displayed on N1 relating to the linked Notification. 4. T he actor double-clicks the link and a window opens up to view the linked Notification. 5. T he actor closes the linked Notification by selecting "Close Notification". 6. T he actor repeats steps 2 and 3 as desired to link other Notifications

	to N1.
Alternate Flow	

Use Case ID	8
Use Case Name	Upload and attach documents to Notifications and tasks.
Primary Actor	Generic User
Use Case Description	The use case describes how an actor uploads and attaches a document to a Notification or to a particular task listed in the Notification.
Precondition	The actor has logged on to the system and the Notification or task to which the uploaded document is to be attached has already been created and saved in the system. The actor has also previously scanned a document to be attached to the Notification or task and has saved it to a particular drive and folder on the actor's computer directory.
Trigger	
Basic Flow	1. The actor searches for and opens a Notification in the GUI. 2. The actor selects "Upload Document" and chooses the drive and folder where the scanned document file resides on the actor's computer directory. T 3. The actor selects the file and presses "Attach document". The system responds by attaching the document to the Notification via hyperlink or in some other manner, and saving it into the data repository. T 4. The actor double clicks on the attached document and the document opens for the actor to view. T 5. The actor closes the document and the Notification reappears. T 6. The actor repeats steps 2 and 3 to attach additional documents to Notification and to tasks via hyperlink, as desired. T
Alternate Flow	

Use Case ID	9
Use Case Name	Send notices of notifications by e-mail manually

Primary Actor	Generic User
Use Case Description	This use case describes the actor sending a notice of a Notification to others via e-mail.
Precondition	The actor has logged on to the system and has retrieved a previously created Notification.
Trigger	
Basic Flow	1. The actor selects from DWR's Outlook e-mail directory list the e-mail address of one or more people to which the notice of the Notification is to be sent electronically. The actor may also type in the e-mail address manually. 2. The actor presses "Send" and a notice of the Notification is sent to those selected to receive it. The notice will include the following information data fields contained in the Notification. • Notification header Not • a Notification was created Dat • que Notification tracking number Uni
Alternate Flow	

Use Case ID	10
Use Case Name	Create Custom Reports
Primary Actor	Manager
Use Case Description	Actor creates a report and saves it for future use.
Precondition	Data has been entered into tables in the database necessary for creating the report. User is logged into the system and has permission to create or run reports.
Trigger	
Basic Flow	1. A actor selects "Create Report" on the GUI and a window appears. A list of data base tables are listed. 2. A actor selects the desired table or tables where data is stored and a

	list of field names is displayed. 3. A ctor selects the desired fields for the report and selects “next”. 4. T he system then asks the actor if the actor wishes to establish grouping levels. The user selects “Yes” or “No”. If “Yes”, the user selects from a list of field names to establish the grouping hierarchy. If “No”, no grouping levels are established. 5. A ctor selects “Next” and a display appears inviting actor to establish the sorting order for the field name under each grouping level. User selects “Assending” or “Decending” and selects “Next”. 6. A display appears inviting actor to select whether grouped data is to be summed, averaged, counted, minimized or maximized in value. Actor makes selection and presses “Next”. 7. A display appears inviting user to design the layout of the report. The actor selects the desired layout (i.e., stepped, block, outline, etc.) and the actor presses “Next”. 8. A display appears asking user to enter a title for the report. The actor enters the title and selects “Enter”. The report then appears and the actor is prompted to save the report. 9. T he actor presses “Save” and the report is saved. Note: Other means of creating reports will also be considered.
Alternate Flow	

Use Case ID	11
Use Case Name	Print out and download reports
Primary Actor	Manager
Use Case Description	This use case describes the procedure an actor uses to print out and also download previously developed reports.
Precondition	The actor has logged into the system. A list of desired reports have previously been developed and stored in the system.

Trigger	
Basic Flow	1. Actor selects "Reports" on the GUI and is presented with a list of pre-developed reports from which to choose (either one of the standard reports or a custom report). A 2. Actor selects the desired report and is presented with a form to enter required parameters. A 3. Actor enters required parameters into the form and selects enter. A 4. The report is generated based upon the specified parameters (i.e., date range). T 5. Actor reviews the report using a scroll down bar on the GUI. A 6. Actor selects "Print" and prints out the report. A 7. Actor selects "Download" and then selects "File Type" (i.e., word, excel) and then chooses the drive. The report is then downloaded in the specified file type and placed at the specified drive location. A
Alternate Flow	

Use Case ID	12
Use Case Name	Log off
Primary Actor	Generic User
Use Case Description	This use case describes the procedure an actor uses to log off of the system.
Precondition	Actor wishes to leave system.
Trigger	
Basic Flow	1. Actor decides to leave the system. 2. Actor indicates a desire to leave the system by clicking a "log off" button. System responds by displaying the message "Are you sure you want to log off? Yes or No" 3. Actor selects "Yes." System logs Actor off and logs when the Actor logged off.
Alternate Flow	1. Actor decides to leave the system. 2. Actor indicates a desire to leave the system by clicking a "log off" button. System responds by displaying the message "Are you sure you want to log off? Yes or No" 3. Actor changes his mind and selects "No." The system responds by not logging off the Actor.

APPENDIX C --Data Fields Associated with Each Template (Data Field Names in alphabetical order)											
	Trigger 1	Trigger 2	Trigger 3	Trigger 4	Trigger 5	Trigger 6	(Note: Colors are for readability)				08.25.2010
Input Data Template	New Request from FERC or Other Regulatory Agency Template	Recurring Compliance Requirement Template	FERC Regulatory Inspections Template	Incident Report Template	New SWP Construction or Repair Template	Non-SWP Facilities or construction on project lands Template	Generic Template	Data Field Name (in alphabetical order)	Data Field Definition	Example	Data Format
			X					Actual date inspection occurred	The date that the inspection actually occurred.	11/5/2011	mm/dd/yyyy
						X		Actual end date of activity	The actual end date of the activity	11/6/2011	mm/dd/yyyy
					X			Actual project end date	The actual date the project ended.	11/7/2011	mm/dd/yyyy
					X			Actual project start date	The actual date the project started.	11/8/2011	mm/dd/yyyy
						X		Actual start date of activity	The actual start date of the activity	11/9/2011	mm/dd/yyyy
						X		Anticipated end date of activity	The anticipated date in which the project will end	11/10/2011	mm/dd/yyyy
					X			Anticipated project end date	The anticipated date in which the activity will end	11/11/2011	mm/dd/yyyy

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X		X	X		X		X	Assigned program	Name of program to which the activity is assigned	Hydropower Relicensing 2426	A50
X	X	X	X	X	X	X	X	Attached documents	A link to documents attached to Notification	hypertext (if used as the means to link documents)	A50
X	X	X	X	X	X	X	X	Comment Field 1	Open field to add any desired comments	This notification has been prepared as a result of an earthquake with magnitude 5.1 which caused damage to	A6000
X	X	X	X	X	X	X	X	Comment Field 2	Open field to add any desired comments	This notification has been prepared as a result of an earthquake with magnitude 5.1 which caused damage to	A6001

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X		X						Cost Cap	The maximum dollar amount that is to be spent on an activity according to the Settlement Agreement for P-2100.	2500000	I10
X	X	X	X	X	X	X	X	Cost Object	The internal order, work breakdown structure (WBS) or maintenance order number	S.7321.416 4.122	A25
	X							Correspondence creator contact information	Telephone number for the person assigned to create the correspondence.	(916) 653-4444	A15
	X							Correspondence receipt date	The date the correspondence was received by the Department	12/17/2009	mm/dd/yyyy
	X							Correspondence routing date	The date the notification was e-mailed from the Compliance Analyst to the Compliance	12/18/2009	mm/dd/yyyy

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									Coordinator		
X		X						Current Status	The current status of the requirement of action ("On-Going", "As Needed", "Obsolete")	on-going	A15
						X		Date activity is scheduled to begin	Date activity is scheduled to begin	11/18/2009	mm/dd/yyyy
			X					Date inspection report was sent to regulatory agency	The date in which the inspection report was mailed or filed with regulatory agency.	11/19/2009	mm/dd/yyyy
X		X						Date Due	The date in which an activity is due to the Regulatory Agency or other entity	10/1/2010	mm/dd/yyyy

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	X		X	X	X	X	X	Date notification was created	The date the notification was created by the Compliance Analyst	11/20/2009	mm/dd/yyyy
	X							Date of correspondence	The date shown on the incoming correspondence.	11/21/2009	mm/dd/yyyy
				X				Date of incident	The date the incident occurred	11/22/2009	mm/dd/yyyy
						X		Date post activity information is due to regulatory agency	Date post activity information is due to regulatory agency	11/23/2009	mm/dd/yyyy
						X		Date post activity information was sent to regulatory agency	Date post activity information was sent to regulatory agency	11/24/2009	mm/dd/yyyy
					X			Date post project data is due to regulatory agency	The date in which project data is due after construction is complete	11/25/2009	mm/dd/yyyy
					X			Date post project data was sent to regulatory agency	The date the after construction data was sent to regulatory agency	11/26/2009	mm/dd/yyyy

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						X		Date pre activity data was sent to regulatory agency	Date pre activity data was sent to regulatory agency	11/27/2009	mm/dd/yyyy
						X		Date pre activity information is due to regulatory agency	Date pre activity information is due to regulatory agency	11/28/2009	mm/dd/yyyy
					X			Date pre project data is due to regulatory agency	The date in which pre-project data is due after construction is complete	11/29/2009	mm/dd/yyyy
					X			Date project is scheduled to begin	The date the project is scheduled to begin.	11/30/2009	mm/dd/yyyy
	X		X		X	X	X	Date regulatory agency was sent compliance requirement information	Date regulatory agency was sent compliance requirement information	12/1/2009	mm/dd/yyyy
				X				Date regulatory agency was sent incident report	The date the regulatory agency was sent the incident report	12/2/2009	mm/dd/yyyy
				X				Description of incident	A description of the incident	A drowning occurred at.....	A6000

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X		X						Description of license condition or regulatory requirement	A verbatim description of a single license condition or regulatory requirement	The Licensee shall operate the project works in such a manner so as...	A6000
						X		Description of non-project activity	Description of the non-project activity	The Division of land and right of way granted a utility easement to PG&E on 2/18/2009 so the company could install a	A6000
					X			Description of project	A general description of the construction project or repair	Southern Field Division will plans to construct a new	A6000
X		X						Deactivate Record?	When the flag is set to "Yes", software will ignore the deactivated record with respect to auto notification (i.e., e-mail won't be sent when call-up date is reached.)	Yes	A3

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				X				Details of all communications with regulatory agency	A comprehensive list of all communications that occurred with the regulatory agency	John Smith of O&M headquarters contacted Wing Lee at FERCS San Francisco office by phone on 12/14/2009 to report	A6000
X		X						End Date	The date a particular activity ends, in accordance with license conditions	12/15/2040	mm/dd/yyyy
					X	X		Environmental documentation required	A list of all the environmental documentation required prior to construction	Mitigated Negative Declaration	A6000
X	X	X	X	X	X	X	X	Group By	This alphanumeric allows related license conditions to be grouped for sorting purposes.	A-101	A10
			X					Inspection description	A description of the inspection to take place	The inspection will include the east forebay embankment	A6000

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X		X						Information source	The source of the regulatory information	Oroville Settlement Agreement	A100
			X					Inspection status (in process/completed)	A flag indicating the current status of the inspection	In process	A6000
X	X	X	X	X	X	X	X	Key Words	A list of key works, separated by commas. To be used in a search to locate a notification.	drowning, p-2100, Oroville	A1000
X	X	X	X	X	X	X	X	License	The FERC Project Number (P-2100, P-2426 or P-2876)	P-2100	A6
X		X						License Article	This is the license article number	Article 12.24	A50
X	X	X	X	X	X	X	X	Linked Notifications	These are hypertexts or some other means which can be clicked to bring up Notifications related to the current Notification	hypertext (if used as the means to link Notifications)	A50

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X	X	X	X	X	X	X	X	Location	The physical location of the action or activity	Pyramid	A25
	X		X	X	X	X	X	Met FERC due dates? (blank/yes/no)	A field to indicate whether a compliance activity was completed by the FERC due date.	Yes	A3
	X							Name of correspondence creator	This is the name of the person in DWR tasked with creating the reply correspondence.	Jill Doe	A50
	X		X	X	X	X	X	Name of Notification creator	The person who created the Notification.	Sammy Small	A50
X	X	X	X	X	X	X	X	Notes	A field for explanatory notes	Ecological Committee to be established 3 months after new license is obtained from FERC	A1000
	X		X	X	X	X	X	Notification Header	This header text field appears at the top of the Notification	DROWNIN G INCIDENT AT LAKE OROVILLE ON 6/18/2009	A200

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X	X	X	X	X	X	X	X	Notification created in error? (yes/no)	Notifications, once created and saved, cannot be deleted. If the flag is "yes" it means that one may disregard this Notification as it is erroneous.	No	A3
	X		X	X	X	X	X	Notification status (open/closed)	A flag indicating the current status of the Notification.	Open	A6
X		X						Order issue date	The date in which the Order was issued by FERC	9/17/2009	mm/dd/yyyy
				X				Other agency notification	A list of other agencies that have been notified of incident	FERC, SWRCB, USFWS	A200
					X	X		Permits required	A list of all the required permits needed before construction	Encroachment permit from	A500

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						X		Post activity task description	A description of all post activity tasks	Prepare a letter to the State Water Resources Control Board letting them know ...	A6000
			X					Post inspection details and tasks	A description of the post inspection details and tasks	Prepare and submit a follow-up report to FERC.	A6000
					X			Post project task descriptions 1 thru n	A description of after construction tasks 1 thru n	Prepare and submit as-built drawings to FERC, File Notice of Completion	A6000
						X		Pre activity task description	A description of all pre-activity tasks	Contact the USFWS for a consultation .	A6000
					X			Pre project task descriptions 1 thru n	A description of pre-construction tasks 1 thru n	Submit a plan and schedule to FERC.	A6000
			X					Pre-inspection details and tasks	A description of the pre-inspection details and tasks	Prepare contract to hire consultants	A6000

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	X		X	X	X	X	X	Priority	A flag indicating the priority of the Notification ("High", "Medium", "Low")	High	A6
			X					Project inspection number	The inspection number of the project	123abc	A50
X	X	X	X		X			Project lead	The name of the project leader	Dave Ransom	A50
X	X	X	X	X	X	X	X	Regulatory Agency	The name of the regulatory agency for which the compliance activity is being carried out by DWR.	FERC	A50
	X		X	X	X	X	X	Reminder call up date for Notification	The date the responsible person will be reminded of the activity	7/14/2011	mm/dd/yyyy

X	X	X	X	X	X	X	X	Reminder flag (on/off)	A flag, when set to "On", will signal the software to send a notice of the Notification to the Responsibl e Person when the Reminder call up date is reached or when the call-up date for tasks 1 thru n has arrived.	on	A3
X	X	X	X	X	X	X	X	Reoccurrenc e Interval (months)	The number of months after the last reminder is sent before it is resent to the Responsibl e person.	3	A4

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X	X	X	X	X	X	X	X	Responsible Person 1 thru n	People 1 through n responsible for an activity. They will be sent a reminder notice if the Reminder flag is set to "on" when the reminder date is reached.	Truman Capoti	nA50
X	X	X	X	X	X	X	X	Responsible Person 1 thru n e-mail address	The e-mail address of each responsible person 1 thorough n. When the Reminder Flag is set to "on", these people will receive a reminder notice when the reminder date is reached.	jlinguini@water.ca.gov	nA50
	X		X	X	X	X	X	Reviewed by Compliance Coordinator?	A flag indicating if the Compliance Coordinator has reviewed the Notification ("Yes" or	Yes	A3

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									"No")		
			X					Scheduled inspection date	The date that the inspection is to occur.	5/12/2011	mm/dd/yyyy
				X				Status of incident report (unassigned/ in process/com pleted)	A flag indicating the current status of the incident report.	in process	A10
					X			Status of post projects 1 thru n (unassigned/ in process/com pleted)	Status of each of the post projects 1 through n	completed	A10
					X			Status of pre projects 1 thru n (unassigned/ in process/com pleted)	A flag indicating the status of each of the pre-projects 1 through n	in process	A10
X		X						Sub-docket Number	The docket number	197	A10

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	X							Subject line of correspondence	A short description of the subject line of the incoming correspondence	Adequacy of time-sensitive EAP	A500
	X		X	X	X	X	X	Task 1 thru n Description	Description of each task 1 through n	Prepare correspondence to FERC	A6000
	X		X	X	X	X	X	Task 1 thru n status (unassigned/in process/completed)	A flag indicating the status of each task 1 through n	unassigned	A10
	X		X	X	X	X	X	Task assignee Email addresses 1 thru n	E-mail addresses of Persons assigned each task	jsalami@water.ca.gov	A50
	X		X	X	X	X	X	Task assignees 1 thru n	Persons 1 through n assigned to each task	John Jones	A50
X	X	X	X	X	X	X	X	Tickler Date	The date in which a reminder notice is sent to the Responsible person by e-mail reminding them of some due date.	6/6/2009	mm/dd/yyyy

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	X		X	X	X	X	X	Task due dates 1 thru n	The dates in which each Task 1 through n is due	9/15/2010	mm/dd/yyyy
X	X	X	X	X	X	X	X	Unique notification tracking number (auto generated)	A unique number generated by the software automatical ly for each Notification	1245677	18